

147 Rec'd PCT/PTO 23 MAR 2006

FORM PTO-1390 (REV02-2005)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET #: 502902-227PUS
<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>				U.S. APPLICATION NO. <i>If known, see 37 CFR 1.5</i> <b>107574021</b>
INTERNATIONAL APPLICATION NO. <b>PCT/DE2004/002135</b>	INTERNATIONAL FILING DATE <b>24 September 2004</b>		PRIORITY DATE CLAIMED <b>24 September 2003</b>	
TITLE OF INVENTION <b>High-Efficiency LED-Based Illumination System with Improved Color Rendering</b>				
APPLICANT(S) FOR DO/EO/US <b>Herbert BRUNNER; Tim FIEDLER; Frank JERMANN; Martin ZACHAU</b>				
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:				
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371</li> <li>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</li> <li>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).             <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol>				
Items 11. to 20. Below concern other document(s) or information included:				
<ol style="list-style-type: none"> <li>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input checked="" type="checkbox"/> A preliminary amendment.</li> <li>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li> <li>15. <input type="checkbox"/> A substitute specification.</li> <li>16. <input type="checkbox"/> A power of attorney and/or address letter.</li> <li>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825</li> <li>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</li> <li>19. <input type="checkbox"/> A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).</li> <li>20. <input checked="" type="checkbox"/> Other items or information: (specify): Form PCT/IB/304, Form PCT/IB/308, Form PCT/ISA/237, Cover page of Published PCT application, Int'l Search Report, Request for Publication of Assignment Information</li> </ol>				

By Express Mail # EV815068068US

U.S. APPLICATION NO. (if known, see 37 CFR 1.1(a))	INTERNATIONAL APPLICATION NO.	ATTORNEY'S DOCKET NUMBER
<b>101574021</b>	PCT/DE2004/002135	502902-227PUS
The following fees are submitted:		
22. <input checked="" type="checkbox"/> Basic National Fee (37 CFR 1.492(a)(1)-(5)) \$300 \$ 300		
<input checked="" type="checkbox"/> Examination Fee If International preliminary examination report is prepared by USPTO and all claims satisfy the provisions of PCT article 33(1)-(4) \$0 \$ 200 All other situations \$200		
23. <input checked="" type="checkbox"/> Search Fee If International preliminary examination report is prepared by USPTO and all claims satisfy the provisions of PCT article 33(1)-(4) \$0 \$ 400 Search fee (37 CFR 1.445(a)(2)) has been paid on the International application to the USPTO as an International Searching Authority \$100 International Search Report prepared and provided to the Office or previously provided to the office \$400 All other situations \$500		
ENTER APPROPRIATE BASIC FEE AMOUNT (total of 21, 22 and 23) = \$ 900		
[] Application Fee for specification and drawing filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.		
Total Sheets	Extra Sheets	Number of additional 50 or fraction thereof (round up to a whole number)
-100 =	/50 =	x \$250 \$
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).		
Claims	Number Filed	Number Extra
Total Claims	17 - 20 =	0 x \$ 50.00 \$
Independent Claims	1 - 3 =	0 x \$200.00 \$
Multiple dependent claim(s) (if applicable) + \$360.00 \$		
TOTAL OF ABOVE CALCULATIONS = \$ 900		
[] Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.		
SUBTOTAL = \$ 900		
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)). + \$		
TOTAL NATIONAL FEE = \$ 900		
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by the appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + \$ 40		
TOTAL FEES ENCLOSED \$940		
Amount to be refunded: \$		
Amount to be charged: \$		
a. <input checked="" type="checkbox"/> A check in the amount of \$ 940 to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. <u>03-2412</u> in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>03-2412</u> . A duplicate copy of this sheet is enclosed.		
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.		
SEND ALL CORRESPONDENCE TO: <u>Thomas Langer</u> Cohen, Pontani, Lieberman & Pavane 551 Fifth Avenue, Suite 1210 New York, New York 10176		 <u>Thomas Langer</u> <u>Registration Number: 27,264</u> <u>March 23, 2006</u> <u>Tel: (212) 687-2770</u>

Attorney Docket # 502902-227PUS

By Express Mail #EV815068068US

Patent

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re National Phase PCT Application of  
Herbert BRUNNER et al.  
Int'l PCT Appln. No.: PCT/DE2004/002135  
Int'l Filing Date: 24 September 2004  
For: High-Efficiency LED-Based  
Illumination System with  
Improved Color Rendering

Check box if applicable:  
 DUPLICATE

**GENERAL AUTHORIZATION FOR PAYMENT OF FEES  
AND PETITIONS FOR EXTENSIONS OF TIME**  
*Submit an original and a duplicate for fee processing*

Mail Stop **PCT**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

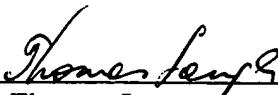
Sir:

The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 03-2412

- Any filing fees required under 37 CFR §1.16.
- Any patent application processing fees under 37 CFR §1.17 not otherwise paid by check.
- The issue fee set in 37 CFR 1.18 at 3 months from mailing of the Notice of Allowance, pursuant to 37 CFR 1.311 (b) provided the fee has not already been paid by check.
- Any filing fees under 37 CFR 1.16 for presentation of extra claims.

Respectfully submitted,  
COHEN, PONTANI, LIEBERMAN & PAVANE

By

  
Thomas Langer  
Reg. No. 27,264  
551 Fifth Avenue, Suite 1210  
New York, New York 10176  
(212) 687-2770

Dated: March 23, 2006

10/574,021  
IAP5 Rec'd PCT/PTO 23 MAR 2006

Attorney Docket # 502902-227PUS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re National Phase PCT application of

Herbert BRUNNER et al.

International Application No.: PCT/DE2004/002135

International Filing Date: September 24, 2004

For: High-Efficiency LED-Based Illumination System with  
Improved Color Rendering

REQUEST FOR PUBLICATION OF ASSIGNMENT INFORMATION

Mail Stop **PCT**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SIR:

It is requested that the following assignment information be published as part of the 18 month publication of the present application:

**Patent-Treuhand-Gesellschaft für elektrische Glühlampen mbH**  
**Hellabrunner Str. 1**  
**81543 München, Germany**

AND

**Osram Opto Semiconductors GmbH**  
**Wernerwerkstrasse 2**  
**93049 Regensburg, Germany**

Respectfully submitted,  
COHEN, PONTANI, LIEBERMAN & PAVANE

By: Thomas Langer  
Thomas Langer  
Reg. No. 27,264  
551 Fifth Avenue, Suite 1210  
New York, N.Y. 10176  
(212) 687-2770

23 March 2006